

## RECORDS MANAGEMENT POLICY

### INTRODUCTION

Effective records management processes will help Tayside Contracts to meet our obligations under Data Protection and Freedom of Information legislation and fulfil our contractual obligations to assist our Local Authority partners in complying with their obligations under the Public Records (Scotland) Act 2011.

Our records are a vital information asset providing evidence of our functions, activities and transactions for:

- **Operational Use** - to serve the purpose for which they were originally created, to support our decision making processes, to record decisions made previously, to learn from previous successes and failures, and to protect the organisation's assets and rights.
- **Internal and External Accountability** - to demonstrate transparency and accountability for our actions, to provide evidence of strong governance, legislative, regulatory and contractual compliance and to demonstrate that all business is conducted in line with best practice.
- **Historical and Long term Business Value** - to protect and make available the corporate memory of the organisation to all stakeholders and for future generations.

This Policy is a core part of Tayside Contracts Information Governance Framework and sets out our commitment to the creation and maintenance of authentic, reliable, trusted and usable records which are capable of supporting business functions and activities for as long as they are required and how we will meet this commitment in practice.

### SCOPE

This policy applies to:

- all employees of Tayside Contracts, to third party organisations or contractors and to anyone else who is authorised to create, access and use Tayside Contracts' records and information;
- all records and information generated, sent, received or used by Tayside Contracts in the undertaking of its functions including service delivery, policy implementation, budget planning, meetings and projects; and
- records and information in all formats, systems and locations including paper records, electronic mail, word documents and spreadsheets, data in business systems, audio and video recordings and website and social media content.

## **EMPLOYEE RESPONSIBILITIES**

All employees and contractors are responsible for the creation and capture of adequate business records for the work that they do in line with this policy, ensuring that these records remain accessible and usable for as long as they are required to be retained under the Tayside Contracts' Retention Schedule.

Employees must be able to justify what has been recorded and be prepared for that information to be released as part of statutory requests for information under Freedom of Information and Data Protection legislation.

## **POLICY COMMITMENT**

Tayside Contracts is committed to the creation and capture of adequate records of all business activities and to managing them appropriately throughout their lifecycle. We will ensure that our records are managed in such a way that they can be proven to display the characteristics of authoritative records as defined in ISO 15489-1:2016, the international records management standard.

## **IMPLEMENTATION**

Tayside Contracts will meet these policy commitments by establishing and maintaining the following record keeping standards, tools and controls, proportionate to the records risk and value of their related business activity or transaction, these include:

- A business classification scheme to reflect the functions, activities and transactions of the organisation.
- An information retention and disposal schedule providing authoritative rules on what records we need to create and how long we need to retain them.
- Destruction arrangements detailing the correct procedures to follow when disposing of business information.
- An information asset register documenting the management requirements of all our information and records assets, based on their value and risk to the organisation.
- Metadata schema, data quality standards and controlled vocabularies to aid information search and retrieval and an understanding of business context.
- Incorporation of records and other information assets vital to the continuity of Tayside Contracts business in business continuity policy and plans.
- Digital preservation arrangements in place for records required for long term or permanent retention to maintain their authenticity, accessibility, integrity and usability over time.
- Adequate processes and controls in place to meet the records management requirements of existing physical and IT systems.
- Clearly documented records management requirements specified and delivered as part of any major change to IT systems and business processes.
- Information security controls in place to protect records and systems from unauthorised access, use, disclosure, disruption, modification, or destruction.

- The provision of adequate training as part of the corporate induction process for all new starts, and refresher training for existing staff, to ensure they are equipped to fulfil the records management responsibilities of their job role.

## **POLICY VIOLATIONS**

Failure to comply with this policy may result in individuals being investigated and disciplinary action taken against them in accordance with Tayside Contracts' Disciplinary Policy.

## **EXTERNAL OPERATING ENVIRONMENT**

Compliance with this policy will help us meet the requirements and obligations of our external operating environment including:

- Compliance with statutory and regulatory obligations of all organisational functions, for example Health, Safety and Environmental legislation and Financial and Procurement regulations.
- Maintaining accreditation with industry standards such as ISO 9001 Quality Management Standard, training accreditation awarding bodies such as the SQA, and professional bodies such as Investors in People.
- Contractual requirements with our public and private customers.
- Effective, efficient and compliant information sharing and Partnership working.

This policy will enable us to comply directly with our information governance-related statutory obligations including:

- General Data Protection Regulation
- UK Data Protection Act 2018
- Human Rights Act 1998
- Freedom of Information (Scotland) Act 2002
- Privacy and Electronic Communications Regulations 2003
- Surveillance Camera Code of Practice
- Payment Card Industry (PCI) Data Security Standard 3.1
- Equality Act 2010.

Tayside Contracts aim to operate in accordance with BS ISO 15489-1:2016, the international records management standard.

## **RELATED POLICIES**

The Records Management Policy links to the following policies which can be accessed on the Intranet, or requested from your line manager or from the HR Admin Team:

- Information Governance Strategy
- Data Protection Policy
- Data Quality Policy
- Information Security Policy
- IT Security Policy

- Risk Management Policy
- Business Continuity Policy
- Employee Code of Conduct
- Information Security Policy
- Acceptable Use of IT Policy.

The above list is not exhaustive.

## **MONITORING AND COMPLIANCE**

Policy compliance and performance improvement will be monitored by the Information Governance Steering Group, based on an agreed set of key performance indicators, and reported to the Corporate Management Team on an annual basis.

## **POLICY REVIEW**

The Records Management Policy will be reviewed at three yearly intervals, or as required by legislative changes.

**Should you have any queries or require further clarification regarding any aspects of this policy, or if you would like this document translated into another language or in another format such as audio or large print then please contact Angie Thompson, Equalities and Communications Manager on 01382 834165 or [angie.thompson@tayside-contracts.co.uk](mailto:angie.thompson@tayside-contracts.co.uk)**